



Explanation of Volunteer Tennessee Monitoring Process

Q. Why is monitoring done?

A. OMB Circular A-133 - Audits of States, Local Governments, and Non-Profit Organizations (06/24/1997, includes revisions published in *Federal Register* 06/27/03)¹

- Policy 2013 - 007 "*Department of General Services Policy 2013 - 007, "Grant Management and Subrecipient Monitoring Policies and Procedures," was established effective May 28, 2013.*" National standards require states to monitor sub grantees to assure that Federal and state funds are used appropriately.²

Q. What are the objectives of monitoring?

A. Our purpose for monitoring is not to surprise you or look for findings but to provide you feedback to help you improve your program.

Monitoring objectives are:

- To obtain reasonable assurance that the agency is a going concern
- To assess the reliability of internal controls
- To verify that program objectives are being met
- To verify that civil rights requirements are being met
- To test the reliability of the financial and programmatic reporting
- To test if costs and service are allowable and eligible
- To verify compliance with the contract and grant requirements and regulations

Q. How are the contracts selected to be monitored each year?

A. Volunteer Tennessee uses a risk-based approach, along with input received from program managers to select grantees for monitoring.

Q. How frequently do the agencies get monitored?

In general, all agencies get monitored at least once in every three years. A program that was "high risk" last year and received a monitoring visit does not automatically mean that it will not be high risk the next program year. Programs can get monitored twice during the three year grant cycle.

Q. What is the process of scheduling monitoring visit?

- A. The monitoring visit is scheduled at least 30 days in advance. Once the dates are agreed upon, the information/lists of items needed for the monitoring review are emailed to the appropriate personnel.

Q. Can monitoring be rescheduled if unforeseen circumstances arise?

- A. Yes, please call the monitor at 615-869-9232 or email her at Neelam.Gupta@tn.gov. The monitor will try her best to accommodate to your schedule and expects the same from programs.

Q. When will the monitoring report be issued?

- A. Monitoring report will be issued within 30 business days from the last date of the required information received.

Q. When is the corrective action due and who receives it?

- A. A corrective action plan outlining strategies to correct findings is due no later than 15 business days from the date of the monitoring report to Jim Snell, Executive Director.